



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/871,427	05/31/2001	Andrew J.R. Smith	3499-76

APPLICATION NUMBER

**FLING/RECEIPT DATE**

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09/871,427

05/31/2001

Andrew J.R. Smith

3499-76

Amherst Chance Rogers & Wells LLP  
200 Park Avenue  
New York, NY 10166-0153

**CONFIRMATION NO. 8901**

## FORMALITIES LETTER



\*OC00000006422942\*

Date Mailed: 08/14/2001

**NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION**

FILED UNDER 37 CFR 1.53(b)

***Filing Date Granted***

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 130.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:

- drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. ( 5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

*A copy of this notice **MUST** be returned with the reply.*

  
Customer Service Center  
Initial Patent Examination Division (703) 308-1200

PART 2 - COPY TO BE RETURNED WITH RESPONSE



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# SEC 10

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CERTIFICATE OF MAILING

I hereby certify that the correspondence is being deposited with the United States Post Office as first class mail in an envelope addressed to Commissioner for Patents, Washington, D C 20231, on

Date September 25, 2001

Name Lisa M. Davis

Signature Lisa M. Davis

*Lifford Chance Rogers & Wells LLP*

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Docket No. 3499-76

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of: Andrew J.R. Smith et al.

Filed: May 31, 2001 Group Art Unit: 2161

Serial No: 09/871,427 Examiner: TBA

For: METHOD AND SYSTEM FOR PROCESSING RAW FINANCIAL DATA STREAMS TO PRODUCE AND DISTRIBUTE STRUCTURED AND VALIDATED PRODUCT OFFERING OBJECTS

**RESPONSE TO NOTICE TO FILE MISSING PARTS**

Commissioner for Patents  
**BOX: MISSING PARTS**  
Washington, D.C. 20231

Sir:

In response to the Notice to File Missing Parts (copy enclosed) dated August 14, 2001 received for the above identified application, enclosed please find the following

1.  Executed Declaration and Power of Attorney  
 Copy of Executed Declaration and Power of attorney from prior application
2.  Substitute Formal Drawings

Please make the Declaration and Power of Attorney of record in the above-identified application.